

**Private & strictly confidential**

**ESTABLISHING THE FACTS REPORT**

|  |  |
| --- | --- |
| **Subject of the Investigation –**  **Name:** |  |
|  |  |

|  |  |
| --- | --- |
| **Completed by (Name of investigating Officer)** |  |
| **Date Completed:** |  |

1. **Background to the employee**

* Who is \*\* within the organisation?
* Job role / grade / reports / team / type of business undertaken
* manager
* Start date
* Review of employment file – any previous live or relevant disciplinary action (formal or informal)
* Any other job roles

1. **Methodology**

My name is \*\*\*\*. My substantive role with Nottingham City Council is \*\*\*\*. I was appointed by \*\*\*\*to undertake a workplace investigation in relation to potential gross misconduct and have produced this report to summarise my findings.

I commenced the investigation on \*\*\*\*\* and I completed it on \*\*\*\***.**

I interviewed \*\*\*\*\* on \*\*\*\*\* to gain his/her understanding of the expected standards in relation to the [insert number of allegations] allegations and his/her response/mitigation to those allegations.

I also interviewed the following witnesses on the dates belowto obtain information from them in relation to the allegations.

|  |  |
| --- | --- |
| **Witness** | **Date of interview** |
|  |  |
|  |  |
|  |  |

1. **Reason for establishing the facts**

Explain what has led to this investigation being commissioned?

1. **Investigation findings**

Deal with each of the allegations in turn and set out what evidence you found (e.g. witness accounts, documents, emails, CCTV to substantiate or refute each of the allegations. For any mitigation found in the course of the investigation, include this in Section 4.

Allegation 1 (word for word from the Disciplining Officer’s allegation letter)

Findings….

Allegation 2

Findings….

Allegation 3

Findings….

1. **Mitigation for consideration**

Include the subject’s response/mitigation in relation to each of the allegations.

Allegation 1

Findings….

Allegation 2

Findings….

Allegation 3

Findings….

1. **Chronology of Events**

|  |  |
| --- | --- |
| **Date** | **Document / Event** |
|  | Appointed by ?? as Investigating Officer |
|  |  |
|  |  |
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1. **Supporting document Appendices**

**Appendix 1 -** NCC Disciplinary Procedure

**Appendix 2 –** NCC Document outlining the rules / Breaches (if appropriate)

**Appendix 3 –** Record of Meeting with XXX (if appropriate)

**Appendix 4 –** etc.

**Appendix 5 –**

**Appendix 6 -**

1. **Disciplinary Hearing**

This report will be submitted to the Deciding Officer, [insert name] for their consideration regarding a decision on whether there is a case to answer at a disciplinary hearing.